

Attachment 4

AFOSI CLOSED INVESTIGATION FILE CHECKLIST

<i>File/Activity/Participant/Notes:</i>	YES	NO	N/A
1. Is final, signed, published ROI and SCR attached to the file?			
2. Are all draft ROIs deleted from the file level?			
3. Do file level dispositions match civilian, military judicial, NJP, no action disposition reports?			
4. Is a Coordination activity associated documenting permission was obtained from a foreign, state, or local agency when it was necessary to incorporate an investigative report into an AFOSI file? (paragraph 8.2.2.1.1.)			
5. Are Reviewer Note(s) present documenting proper file review? (paragraph 4.24.4.1.).			
6. Is a Coordination activity associated or IDP note present documenting AUSA declination and explanation?			
7. Is an IDP note present documenting evidence retention? (Appellate Review etc).			
<i>Closed Short (Administrative Closure):</i>			
8. Informational, Developmental, A&P, TM Files Only. Are all record copy investigative file and AF Form 3986 documents scanned and readable? If the investigation was Close Short (Administrative Closure),			
9. Case File Investigation Only. Is a Coordination activity associated or IDP note present documenting Region or Program Manager concurrence?			
<i>AFOSI Form 2:</i>	YES	NO	N/A
10. Is final, signed, published ROI present with complete IDP including any note added after the ROI was distributed?			
11. Is signed SCR Present?			
12. Do all undercover operations AFOSI Form 2s contain copies of the following? a. Post-Operations Tradecraft Assessment Reports (POTAR). b. Operation plans. c. Documents that request assistance from internal and external Air Force organizations.			
13. Are AF Form 3986s present and properly marked?			

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<i>Does the AF Form 3986 Contain?:</i>	YES	NO	N/A
14. Are all documents listed on the AF Form 3986 filed therein?			
15. Are all documents inside the AF Form 3986 correctly annotated and AF Form 3987, Investigation File Inner Envelope , used when appropriate?			
16. If electronic media is included in the AF Form 3986/3987 is it properly marked?			
17. FD-249 (Hardcopy or I2MS generated)			
18. R-84			
19. Investigative Plan?			
20. Civilian Prosecutive Authority Declination Letter?			
21. No Action Disposition Report (Action Authority)?			
22. AF Form 3070 (A, B, C,) Record of Nonjudicial Punishment Proceedings?			
23. AF Form 3212, Record of Supplementary Action Under Article 15, UCMJ?			
24. Plea Agreement?			
25. Sentencing or Acquittal Report?			
26. Article 32 Investigating Officer Appointing Letter?			
27. DD Form 458, Charge Sheet?			
28. AF Form 1359, Report of Results of Trial?			
29. Copy of the appellate action and letter to FBI requesting a change or correction if appellate actions changed the final disposition?			
30. AFOSI Form 158 (Evidence Disposition Request)?			
31. AF Form 52, Evidence Tag(s)?			
32. AFOSI CLOSED INVESTIGATION FILE CHECKLIST?			

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Attachment 7

AFOSI INVESTIGATIVE SUFFICIENCY CHECKLIST

<i>File/Activity/Participant/Notes:</i>	YES	NO	N/A
1. Have notifications and coordinations been conducted with: a. AFOSI specialists? (AFOSIMAN 71-122V1 & 2, AFOSIMAN 71-124) b. Legal authority? (elements of proof) (paragraph 3.7.6) c. Command or action authorities? (paragraph 4.21) d. Other agencies?			
2. Have notifications and coordinations been documented using the Coordination activity?			
3. Have pertinent personnel record checks been conducted conducted within 2 calendar days of creating an Individual (SUBJECT, DECEASED, VICTIM, INCIDENTAL), Company, Organization, or Program participant to ensure accurate participant data? (paragraph 4.2)			
4. Have personnel record checks been documented using the Document Review activity (paragraph 5.9)?			
5. Has the Investigative File (Informational, Developmental or Case) been approved within 2 calendar days from receipt of the initial allegation/complain? (paragraph 4.10).			
6. Has a record copy investigative file (six-part folder) been established and organized? (paragraph 4.17)			
7. Has letter of notification/administrative hold letter been provided to the appropriate action authority? (paragraph 4.22)			
8. Has an Investigative Plan been developed within 5 days after initiation of the Case file investigation? (paragraph 4.23)			
9. Were other required and logical records and law enforcement records checked?			
10. Have record checks been documented using the Document Review or Law Enforcement Records Check activity?			
11. If search authorization was required is the proper authority documented in the Search activity?			

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12. Were VICTIMS, witnesses and INCIDENTALs interviewed and where required, statements obtained?			
13. Has permission from a parent, legal guardian, or custodian been obtained before a juvenile witness interview unless one of the parents is a SUBJECT of an investigation involving a crime against a child? (AFOSIMAN 71-118V4, paragraph 5.11.1)			
14. Were appropriate investigative or specialist support contacted and utilized?			
15. Was proper authorization obtained for the interception of oral, wire, and electronic communications pursuant to AFI 71-1-1V1 and Intelligence Oversight policy?			
16. Have Specialists documented their investigative activity/support as a Consultation Activity?			
17. If items of evidentiary value were forwarded for laboratory analysis, were the findings attached and documented within a Document Review activity?			
18. If sources, UCAs, or specialized investigative techniques were utilized, were identities and techniques masked to protect identities and tradecraft? (AFOSIMAN 71-118V1, paragraph 14.6.1, and AFOSIMAN 71-121, paragraph 5.10.16.1, and table 5.1)			
19. Are high profile case SUBJECT interviews coordinated with the servicing SJA and Region 7 ICON/SIC? (AFOSIMAN 71-118V1, paragraph 5.6.1)			
20. Are juvenile SUBJECT interviews coordinated with servicing SJA and the investigative agency having jurisdiction over the juvenile and/or crime? (AFOSIMAN 71-118V4, paragraph 5.8.7.2)			
21. Does SUBJECT's participant Photo/Image sub-tab contain: a. Current photographs? (front/profile view) b. Identifying marks such as scars, tattoos, etc.			
22. Did unit leadership must review all FD-249s (both hard copy and electronic when accomplished) and R-84s for accuracy and completeness? (paragraph 5.14.1.3) a. Were those reviews appropriately documented?			
23. Were fingerprint cards submitted accurately based upon military judicial and NJP proceeding considerations?			

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24. Were all required and logical investigative steps listed on the Investigative Plan conducted?			
25. Are there outstanding investigative questions that should be answered to improve the thoroughness of the investigation? If yes, discuss with agent and update the Investigative Plan.			
26. Are gaps of more than 7 calendar days between investigative steps explained within the IDP? (paragraph 7.14.1.7)			
27. Have Participant, Activity objects: <ul style="list-style-type: none"> a. Been properly associated and completed, if applicable? b. Been accurately documented (all applicable data, narrative, and note fields)? c. Had exhibits or pertinent documents, or data attached, e.g. SUBJECT photographs? 			
28. Has the File: <ul style="list-style-type: none"> a. Been properly associated, to another file, if applicable? b. Been accurately documented (all applicable data, narrative and note fields)? c. Had exhibits or pertinent documents, or data attached, e.g. SUBJECT photographs? 			
Draft ROI:	YES	NO	N/A
29. Did unit leadership review the DRAFT ROI for: <ul style="list-style-type: none"> a. Investigative sufficiency? b. Investigative writing style? c. IDP entries? d. Spelling and grammar? e. Subsequent corrections made to pertinent participant activity or notes? 			
30. Have DRAFT ROI corrections been made to the pertinent Participant, Activity, or File data, narrative, or note fields?			
31. Has the unit leadership conducted and documented file reviews to ensure progress and investigative sufficiency? (paragraph 4.9.1 and 4.9.1.1)			

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<i>Does the AF Form 3986 Contain:</i>	YES	NO	N/A
32. AF Form 686, Investigations Record Check Summary?			
33. A Letter of Notification and/or Administrative Hold Letter?			
34. AFOSI Form 170, <i>Surveillance Log</i> ?			
35. AFOSI Form 52, <i>Request for Consensual Intercept Authorization</i> ?			
36. Records and/or recordings of all wire and oral communications interceptions?			
37. Copies of all documents used to acquire a DoD/IG subpoena? a. A completed Certificate of Return of Service on the reverse side of the original subpoena? b. If a subpoena was not served after it was issued, was the original subpoena returned to the DoD/IG with an explanation of the details of nonservice? c. A copy of the unserved subpoena and explanation of nonservice?			
38. A copy of the consent for AFOSI to acquire financial data?			
39. AFOSI Form 63, <i>Doctor/Patient Release Statement</i> ?			
40. AF Form 1168, <i>Statement of Suspect/Witness/Complaint</i> ?			
41. Lineup photographs?			
42. AF Form 1364, <i>Consent for Search and Seizure</i> .			
43. AF Form 1176, <i>Authority to Search and Seize</i> , and affidavit establishing probable cause?			
44. Civilian search warrant and if applicable, the statement or affidavit used to obtain the search warrant?			
45. DD Form 1907, <i>Signature and Tally Record</i> , for evidence shipped by military aircraft?			
46. DD Form 2922, <i>Forensic Laboratory Examination Report</i> , or other type of transmittal document?			
47. DD Form 2624, <i>Specimen Custody Document—Drug Testing</i> ?			
48. Crime scene photographs?			

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49. Crime scene sketch?			
50. AFOSI Form 89, <i>Crime Scene Entry Log</i> ?			
51. AF Form 3985, <i>Interview Record</i> ?			
52. Agent's notes?			
53. FD-249 (Hardcopy or I2MS generated)?			
54. R-84?			
55. Photograph (Front/Profile View) of SUBJECT?			
56. Documents pertaining to all requests and approvals for polygraph examinations?			
57. AFOSI Form 74, <i>Consent to Undergo Polygraph Examination</i> ?			
58. AFOSI Form 158, <i>AFOSI Investigative Communication</i> ?			
59. AF Form 3226, <i>Authority to Apprehend in Private Dwelling</i> .			

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